

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**In re the application of:** Margaret Shipp *et al.*

**U.S. Serial No.:** 09/830,762

**U.S. Filing Date:** April 27, 2001

**International Serial No.:** PCT/US99/25439

**International Filing Date:** October 29, 1999

**For:** "Lymphoma Associated Molecules and  
Uses Therefor"

**Attorney Docket No.:** DFN-031US

**Group Art Unit:** Not Yet Assigned

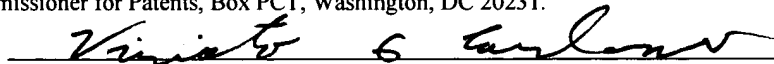
**Examiner:** Not Yet Assigned

**Commissioner for Patents  
Box PCT  
Washington, D.C. 20231**

"Express Mail" Mailing Label Number EL 833 312 833 US

Date of Deposit October 12, 2001

I hereby certify that this transmittal letter and the papers referred to as being enclosed therein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Box PCT, Washington, DC 20231.

  
Signature

Viriato G. Cardoso

Please Print Name of Person Signing

**RESPONSE TO NOTIFICATION TO COMPLY WITH  
REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING  
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

Dear Sir:

This paper is in response to the Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures (forwarded as an enclosure with the Notification of Missing Requirements Under 35 U.S.C. §371 in the United States Designated/Elected Office (DO/EO/US)) dated June 12, 2001. Prior to examination of the above-identified application, please amend the application as follows:

**In the Specification:**

Please insert pages 1-23 of the Sequence Listing filed herewith.

**REMARKS**

Responsive to the Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures dated June 12, 2001, Applicants submit herewith a paper as well as a computer readable copy of the Sequence Listing (pages 1-23) to be included in the Specification part of the disclosure. The Sequence Listing contains sequences which were present in the specification as filed. *No new matter has been added to the application.*

As required by 37 C.F.R. 1.821-1.825, Applicants hereby state that the content of the computer readable copy of the Sequence Listing is identical to the enclosed paper copy of the Sequence Listing (pages 1-23).

**SUMMARY**

As the above amendments do not affect the issue of patentability, it is respectfully requested that they be entered.

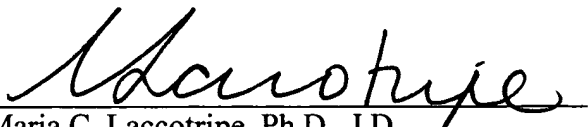
If a telephone conversation with Applicants' agent would expedite the prosecution of the above-identified application, the Examiner is urged to call Applicants' agent at (617) 227-7400.

Respectfully submitted,

LAHIVE & COCKFIELD, LLP

28 State Street  
Boston, MA 02109  
Tel. (617) 227-7400

By:

  
Maria C. Laccotripe, Ph.D., J.D.  
Limited Recognition Under 37 C.F.R. §10.9(b)  
Agent for Applicants

Dated: **October 12, 2001**

LAHIVE  
&  
COCKFIELD  
L L P

COUNSELLORS AT LAW  
28 STATE STREET  
BOSTON, MASSACHUSETTS 02109-1784  
TELEPHONE (617) 227-7400  
FAX (617) 742-4214  
lc@lahive.com

JOHN A. LAHIVE, JR. (1928-1997)  
THOMAS V. SMURZYNSKI  
RALPH A. LOREN  
GIULIO A. DeCONTI, JR.  
ANN LAMPORT HAMMITTE  
ELIZABETH A. HANLEY  
AMY BAKER MANDRAGOURAS  
ANTHONY A. LAURENTANO  
KEVIN J. CANNING  
JANE E. REMILLARD  
DeANN FORAN SMITH  
PETER C. LAURO  
JEANNE M. DIGIORGIO  
DEBRA J. MILASINCIC, Ph.D.  
DAVID J. RIKKERS  
DAVID R. BURNS  
JOHN S. CURRAN  
SEAN D. DETWEILER

CYNTHIA L. KATZ, Ph.D.  
MEGAN E. WILLIAMS, Ph.D.  
RICHANAND  
MICHAEL PHILLIPPS \*  
LISA M. DIROCCO

SENIOR COUNSEL  
JAMES E. COCKFIELD

OF COUNSEL  
JEREMIAH LYNCH  
WILLIAM A. SCOFIELD, JR.

PATENT AGENTS  
PETER S. STECHER  
THEODORE R. WEST  
SHAYNE Y. HUFF, Ph.D.  
HATHAWAY P. RUSSELL  
DANIEL B. KO

TECHNICAL SPECIALISTS  
MARIA LACCOTRIPE ZACHARAKIS, Ph.D.\*\*  
CYNTHIA M. SOROOS  
PETER W. DINI, Ph.D.  
EUIHOON LEE  
JENNIFER K. ROSENFELD  
ALLAN TAMESHTIT, Ph.D.  
CATHERINE E. McPHERSON  
ERIC F. WAGNER, Ph.D.  
SHAHID HASAN, Ph.D.  
JACOB G. WEINTRAUB  
PETER A. DIMATTIA  
JONATHAN M. SPARKS, Ph.D.  
CRISTIN E. HOWLEY, Ph.D.  
VINCENT P. LOCCISANO  
MERIDETH C. ARNOLD

\* Admitted in NY only  
\*\* Passed the Patent Bar Examination

JOH Rec'd PCT/PTO 1 2 OCT 2001 #4

October 12, 2001

Commissioner for Patents  
Box PCT  
Washington, D.C. 20231

Re: U.S. Patent Application Serial No. 09/830,762  
(Based on International Patent Application Serial No. PCT/US99/25439)  
Title: "*Lymphoma Associated Molecules and Uses Therefor*"  
Inventors: Margaret Shipp *et al.*  
April 27, 2001 (United States)  
Attorney Docket No. DFN-031US

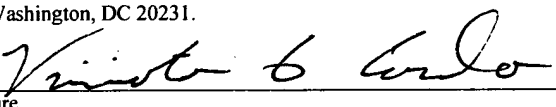
Dear Sir:

I enclose herewith for filing in the above-identified application the following:

1. Response to Notification of Missing Requirements Under 35 U.S.C. §371 in the United States Designated/Elected Office (DO/EO/US);
2. Two *Executed* Declarations, Petitions and Powers of Attorney (8 pages);
3. Response to Notification to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures;
4. Transmittal Letter for Diskette Containing Sequence Listing;
5. Paper Copy of Sequence Listing (Pages 1-23);
6. Diskette Containing Computer Readable Copy of Sequence Listing;
7. Request for Two-Month Extension of Time (in duplicate);
8. Check for \$200.00 (extension fee based on small entity status); and
9. Statement of Limited Recognition Under 37 C.F.R. §10.9(b) for Maria C. Laccotripe;
10. Copy of Notification of Missing Requirements Under 35 U.S.C. §371 in the United States Designated/Elected Office (DO/EO/US) (*with enclosures*); and
11. Pre-paid acknowledgment postcard.

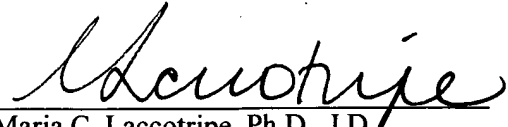
No costs are believed to be due in connection with the filing of this Response to Missing Requirements. However, please charge any necessary fees in connection with the enclosed

filing to our Deposit Order Account No. 12-0080. The undersigned requests any extensions of time necessary to respond. *For this purpose, a duplicate of this sheet is attached.*

"Express Mail" Mailing Label Number	EL 833 312 833 US
Date of Deposit	October 12, 2001
I hereby certify that this transmittal letter and the papers referred to as being enclosed therein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Box PCT, Washington, DC 20231.	
	
Signature	
Viriato G. Cardoso	
Please Print Name of Person Signing	

Respectfully submitted,

LAHIVE & COCKFIELD, LLP

By:   
Maria C. Laccotripe, Ph.D., J.D.  
Limited Recognition Under 37 C.F.R. §10.9(b)  
Agent for Applicants  
28 State Street  
Boston, MA 02109  
Telephone (617) 227-7400

Date: **October 12, 2001**



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/830762	SHIPP M	DFN-031US
INTERNATIONAL APPLICATION NO.		
PCT/US99/25439		

AMY E MANDRAGOURAS  
LAHIVE & COCKFIELD  
28 STATE STREET  
BOSTON, MA 02109**DOCKETED**

29 OCT 99

29 OCT 98

August 2001 Missing Parts Requirement  
January 2000 ESP 2/5/97  
DATE MAILED

18 JUN 2001

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):
- |  |   |
|--|---|
| <input checked="" type="checkbox"/> U.S. Basic National Fee.   | <input checked="" type="checkbox"/> Indication of Small Entity Status.              |
| <input checked="" type="checkbox"/> Copy of the international application.   | <input type="checkbox"/> Translation of the international application into English. |
| <input type="checkbox"/> Oath or Declaration of inventor(s).   | <input type="checkbox"/> Translation of Article 19 amendments into English.         |
| <input type="checkbox"/> Copy of Article 19 amendments.  | <input type="checkbox"/> Other:   |
| <input type="checkbox"/> Priority Document.  |   |
| <input checked="" type="checkbox"/> The International Preliminary Examination Report in English and its Annexes, if any. |   |
| <input type="checkbox"/> Translation of Annexes to the International Preliminary Examination Report into English.        |   |
2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.
- ☐ U.S. Basic National Fee. ☐ Copy of the international application.
3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:
- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- ☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- ☐ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).
4. Additional claim fees of \$ \_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.
5. ☒ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

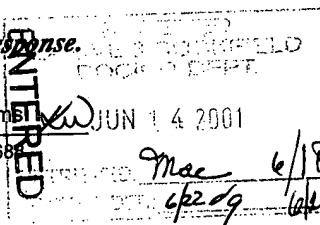
Enclosed: ☒ PCT/DO/EO/917  
☐ PTO-875

☐ Notice of Defective Translation  
☒ PCT/DO/EO/920

Karen Williams JUN 14 2001

FORM PCT/DO/EO/905 (March 2001)

Telephone: 703-305-3688



BEST AVAILABLE COPY

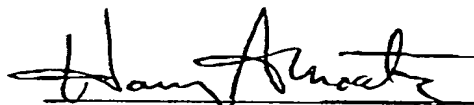
**BEFORE THE OFFICE OF ENROLLMENT AND DISCIPLINE  
UNITED STATE PATENT AND TRADEMARK OFFICE**

**LIMITED RECOGNITION UNDER 37 CFR § 10.9(b)**

Maria C. Laccotripe is hereby given limited recognition under 37 CFR §10.9(b) as an employee of Lahive & Cockfield, LLP, to prepare and prosecute patent applications where the patent applicant is the client of Lahive & Cockfield, LLP, and the attorney or agent of record in the applications is a registered practitioner who is a member of the Lahive & Cockfield, LLP. This limited recognition shall expire on the date appearing below, or when whichever of the following events first occurs prior to the date appearing below: (i) Maria C. Laccotripe ceases to lawfully reside in the United States, (ii) Maria C. Laccotripe's employment with Lahive & Cockfield, LLP ceases or is terminated, or (iii) Maria C. Laccotripe ceases to remain or reside in the United States on an H-1 visa.

This document constitutes proof of such recognition. The original of this document is on file in the Office of Enrollment and Discipline of the U.S. Patent and Trademark Office.

**Expires: September 4, 2002**



Harry I. Moatz

Director of Enrollment and Discipline